

Applicant or Patentee: Ravindra K. Pandey, et al.

Serial or Patent No: 5,314,905

Filed or Issued: May 24, 1994

For: PYROPHEOPHORBITES CONJUGATES AND THEIR USE IN PHOTODYNAMIC THERAPY (AS AMENDED)

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Health Research, Inc.

ADDRESS OF ORGANIZATION: 666 Elm Street

Buffalo, New York 14263

TYPE OF ORGANIZATION:

- ☐ UNIVERSITY OR OTHER INSTITUTE OF HIGHER EDUCATION  
☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE  
(26 USC 501(a) and 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE: \_\_\_\_\_)  
(CITATION OF STATUTE: \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE: \_\_\_\_\_)  
(CITATION OF STATUTE: \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled: PYROPHEOPHORBITES CONJUGATES AND THEIR USE IN PHOTODYNAMIC THERAPY (AS AMENDED)

by inventor(s) Ravindra K. Pandey and Thomas J. Dougherty

described in:

- ☐ the specification to be filed herewith  
☐ application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.  
☒ Patent No. 5,314,905, issued May 24, 1994.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME Ravindra K. Pandey  
ADDRESS 75 Lemay Court, Williamsville, NY 14221  
☒ Individual ☐ Small Business Concern ☐ Nonprofit Organization

NAME Thomas J. Dougherty  
ADDRESS 2306 West Oakfield, Grand Island, NY 14072  
☒ Individual ☐ Small Business Concern ☐ Nonprofit Organization

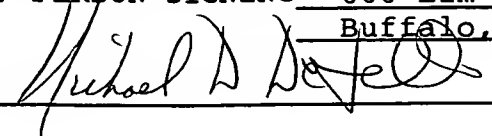
NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Michael D. DeLellis  
TITLE IN ORGANIZATION Director of Operations  
ADDRESS OF PERSON SIGNING 666 Elm Street  
Buffalo, New York 14263

SIGNATURE  DATE 9/13/95

Applicant or Patentee: Ravindra K. Pandey, et al.  
Serial or Patent No: 5,314,905  
Filed or Issued: May 24, 1994  
For: PYROPHEOPHORBIDES CONJUGATES AND THEIR USE IN PHOTODYNAMIC  
THERAPY (AS AMENDED)

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled: PYROPHEOPHORBIDES CONJUGATES AND THEIR USE IN PHOTODYNAMIC  
THERAPY (AS AMENDED)

described in:

- ☐ the specification to be filed herewith  
☐ application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.  
☒ Patent No. 5,314,905, issued May 24, 1994.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ no such person, concern or organization  
☒ persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME Health Research, Inc.  
ADDRESS 666 Elm Street, Buffalo, New York 14263  
☐ Individual ☐ Small Business Concern ☒ Nonprofit Organization

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

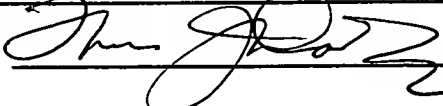
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Inventor: Ravindra K. Pandey

Signature of Inventor: 

Date: 9-14-95

Name of Inventor: Thomas J. Dougherty

Signature of Inventor: 

Date: 9-14-95

Name of Inventor: \_\_\_\_\_

Signature of Inventor: \_\_\_\_\_

Date: \_\_\_\_\_

Name of Inventor: \_\_\_\_\_

Signature of Inventor: \_\_\_\_\_

Date: \_\_\_\_\_